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PTO/SB/01 (10-00)

Approved for use through 10/31/2002. OMB 0651-0032

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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<b>DECLARATION FOR UTILITY OR DESIGN PATENT APPLICATION (37 CFR 1.63)</b>  <input type="checkbox"/> Declaration Submitted with Initial Filing <b>OR</b> <input checked="" type="checkbox"/> Declaration Submitted after Initial Filing (surcharge (37 CFR 1.16 (e)) required)	<b>Attorney Docket Number</b>	YU 132
	<b>First Named Inventor</b>	Peter M. Glazer
	<b>COMPLETE IF KNOWN</b>	
	<b>Application Number</b>	09 / 978,333
	<b>Filing Date</b>	October 15, 2001
	<b>Group Art Unit</b>	1655
	<b>Examiner Name</b>	

As a below named inventor, I hereby declare that:

My residence, mailing address, and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

**TRIPLE-HELIX FORMING OLIGONUCLEOTIDES FOR TARGETED  
MUTAGENESIS**

(Title of the Invention)

the specification of which

☐ is attached hereto

OR

☒ was filed on (MM/DD/YYYY) **10/15/2001** as United States Application Number or PCT International (if applicable).

Application Number **09/978,333** and was amended on (MM/DD/YYYY) (if applicable).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment specifically referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56, including for continuation-in-part applications, material information which became available between the filing date of the prior application and the national or PCT international filing date of the continuation-in-part application.

I hereby claim foreign priority benefits under 35 U.S.C. 119(a)-(d) or 365(b) of any foreign application(s) for patent or inventor's certificate, or 365(a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application for patent or inventor's certificate, or any PCT international application having a filing date before that of the application on which priority is claimed.

Prior Foreign Application Number(s)	Country	Foreign Filing Date (MM/DD/YYYY)	Priority Not Claimed	Certified Copy Attached?	
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

☐ Additional foreign application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached hereto:

I hereby claim the benefit under 35 U.S.C. 119(e) of any United States provisional application(s) listed below.

Application Number(s)	Filing Date (MM/DD/YYYY)	
		<input type="checkbox"/> Additional provisional application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached hereto.

[Page 1 of 2]

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YU 132 (OCR 653)

078245/00001

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**DECLARATION — Utility or Design Patent Application**Direct all correspondence to: ☐ Customer Number or Bar Code Label  OR ☒ Correspondence address below

Name Patrea L. Pabst, Esq.

Address Holland &amp; Knight LLP

Address Suite 2000, One Atlantic Center; 1201 West Peachtree Street, N.E.

City Atlanta

State GA

ZIP 30309-3400

Country USA

Telephone 404 817-8473

Fax 404 817-8588

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

NAME OF SOLE OR FIRST INVENTOR :

☐ A petition has been filed for this unsigned inventorGiven Name  
(first and middle [if any]) Peter M.Family Name  
or Surname GlazerInventor's  
Signature*Peter M. Glazer*

Date

10/31/01

Residence: City Guilford

State CT

Country USA

Citizenship US

Mailing Address 49 Thirsty Hill Road

Mailing Address

City Guilford

State CT

ZIP 06437

Country USA

NAME OF SECOND INVENTOR:

☐ A petition has been filed for this unsigned inventorGiven Name  
(first and middle [if any])Family Name  
or SurnameInventor's  
Signature

Date

Residence: City

State

Country

Citizenship

Mailing Address

Mailing Address

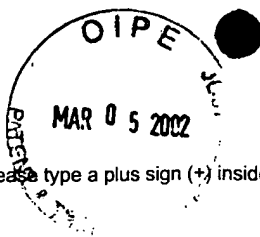
City

State

ZIP

Country

Additional inventors are being named on the \_\_\_\_\_ supplemental Additional Inventor(s) sheet(s) PTO/SB/02A attached hereto.



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PTO/SB/81 (02-01)

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## POWER OF ATTORNEY OR AUTHORIZATION OF AGENT

Application Number	097978,333 (Continuation-in-Part of 09/411,291)
Filing Date	October 15, 2001
First Named Inventor	Peter M. Glazer
Title	TRIPLE-HELIX FORMING OLIGONUCLEOTIDES FOR TARGETED MUTAGENESIS
Group Art Unit	1655
Examiner Name	
Attorney Docket Number	YU 132

I hereby appoint:

☐ Practitioners at Customer Number  → 

Place Customer  
Number Bar Code  
Label here

  
**OR**

☒ Practitioner(s) named below:

Name	Registration Number
Patrea L. Pabst	31,284
Zhaoyang Li	46,872
Rivka D. Monheit	48,731
Yang Xu	45,243

as my/our attorney(s) or agent(s) to prosecute the application identified above, and to transact all business in the United States Patent and Trademark Office connected therewith.

Please change the correspondence address for the above-identified application to:

☐ The above-mentioned Customer Number.

**OR**

☐ Practitioners at Customer Number  → 

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**OR**

☒ Firm or Individual Name Patrea L. Pabst; Holland & Knight LLP

Address Suite 2000, One Atlantic Center

Address 1201 West Peachtree Street, N.E.

City Atlanta State GA Zip 30309-3400

Country USA

Telephone (404) 817-8473 Fax (404) 817-8588

I am the:

☐ Applicant/Inventor.

☒ Assignee of record of the entire interest. See 37 CFR 3.71.  
Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96).

### SIGNATURE of Applicant or Assignee of Record

Name	Yale University
Signature	<i>David L. Pabst</i>
Date	11/7/01

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below".

☒ \*Total of 1 forms are submitted.

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**STATEMENT UNDER 37 CFR 3.73(b)**

Applicant/Patent Owner: Peter M. Glazer  
Application No./Patent No.: 09/978,333 Filed/Issue Date: October 15, 2001  
Entitled: TRIPLE-HELIX FORMING OLIGONUCLEOTIDES FOR TARGETED MUTAGENESIS  
Yale University, a Corporation  
(Name of Assignee) (Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or  
2. ☐ an assignee of less than the entire right, title and interest.  
The extent (by, percentage) of its ownership interest is \_\_\_\_\_ %

in the patent application/patent identified above by virtue of either:

- A. ☒ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

OR

- B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.  
2. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.  
3. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.

- ☐ Copies of assignments or other documents in the chain of title are attached.  
[NOTE: A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

11/7/01  
Date

Dorothy K. Robinson

Typed or printed name

Dorothy K. Robinson  
Signature

Vice President and General Counsel

Title

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

YU 132 (OCR 653) 078245/00045

## ASSIGNMENT

I, Peter M. Glazer of 49 Thirsty Hill Road, Guilford, Connecticut 06437, in consideration of ten dollars and other valuable consideration paid to me by Yale University, a corporation of the State of Connecticut, having its principal place of business at 451 College Street, New Haven, Connecticut 06511, the receipt of which is hereby acknowledged, do hereby sell, assign and transfer unto said Yale University, its successors and assigns, the entire interest for the United States of America, and its territories and all foreign countries and jurisdictions, including all rights of priority under the International Convention for the Protection of Industrial Property, in a certain invention or improvement in "*Triple-Helix Forming Oligonucleotides for Targeted Mutagenesis*" described in U.S. Serial No. 09/978,333 filed in the United States Patent and Trademark Office on October 15, 2001, by Peter M. Glazer, which is a continuation-in-part of U.S. Serial No. 09/411,291 filed in the United States Patent and Trademark Office on October 4, 1999, now U.S. Patent No. 6,303,376, which is a divisional of U.S. Serial No. 08/476,712 filed in the United States Patent and Trademark Office on June 7, 1995, now U.S. Patent No. 5,962,426, and in all Letters Patent of the United States and its territories and all foreign countries and jurisdictions which may or shall be granted on said invention, or any parts thereof, or on said application, or any provisional, divisional, continuation, continuation-in-part, reissue, or other applications based in whole or in part thereon. And I agree, for myself and my executor and administrator, with said corporation and its successors and assigns, but at its or their expense or charges, hereafter to execute all applications, amended specifications, deeds or other instruments, and to do all acts necessary or proper to secure the grant of Letters Patent in the United States and its territories and in all other foreign countries and jurisdictions to said corporation, with specifications and claims in such form as shall be approved by the counsel of said corporation, and to vest and confirm in said corporation, its successors and assigns, the legal title to all such patents.

Title: "Triple-Helix Forming Oligonucleotides for Targeted Mutagenesis"  
By: Peter M. Glazer  
Continuation-in-Part of U.S.S.N. 09/411,291  
Filed: October 15, 2001  
ASSIGNMENT

And I do hereby authorize and request the Commissioner of Patents and Trademarks of the United States to issue such Letters Patent as shall be granted upon said application or applications based thereon to said corporation, its successors and assigns.

WITNESS my hand and seal this 1st day of November, 2001.

*Peter M. Glazer*  
Peter M. Glazer

State of Connecticut )  
County of New Haven )

Then personally appeared the above named Peter M. Glazer and acknowledged the foregoing instrument to be his free act and deed, before me this 01 day of November, 2001.

DARLENE A. SMITH  
Notary Public, State of Connecticut  
My Commission Expires Aug 31, 2006

*Darlene A. Smith*  
Notary Public

My Commission expires: \_\_\_\_\_

ATL1 #489499 v1